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Substitute for form 1449/PTO

(Use as many sheets as necessary)

Sheet	1	of	1
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Complete if Known

Application Number	10/799471
Filing Date	Mar 12, 2004
First Named Inventor	Hai Chiang
Art Unit	2815
Examiner Name	Joseph H. Nguyen
Attorney Docket Number	200315915-1

[illegible][illegible]

06/27/2006

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	10/799471
		Filing Date	Mar 12, 2004
		First Named Inventor	Hai Chiang
		Art Unit	2815
		Examiner Name	Joseph Nguyen
		Attorney Docket Number	200315915-1
Sheet	1	of	2

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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ Number * Kind Code ³ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
JN		JP 2003-086808	03-20-2003	Kawasaki	—	

Examiner Signature	/Joseph Nguyen/	Date Considered	06/27/2006
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.10 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/799471
Filing Date	Mar 12, 2004
First Named Inventor	Hai Chiang
Art Unit	2815
Examiner Name	Joseph Nguyen
Attorney Docket Number	200315915-1

Sheet 2 of 2

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
JN		BOESEN et al, "ZnO Field-Effect Transistor", Proceedings of the IEEE, Nov 1968, pgs 2094-2095, vol 56, Iss 11, pub IEEE, Dept of Elec. Engrg, Northwestern Univ, Evanston, IL.	
JN		KAWASAKI et al, "Can ZnO Eat Market in Optoelectronic Applications?", Extended Abstracts of the 2000 Intl Conf on Solid State Devices & Mtls, Sendai Intl Center, Aug 29 2000, pgs 128-129, Japan Society of Applied Physics, IEEE Electron Devices Society, Japan.	
JN		OHTOMO et al, "Novel Semiconductor Technologies of ZnO Films towards Ultraviolet LEDs and Invisible FETs", IEICE Trans. Electron, Oct 2000, pgs 1614-1617, vol E83-C, no 10, Institute of Electronics Information and Communication Engineers, Japan.	

Examiner Signature	/Joseph Nguyen/	Date Considered	06/27/2006
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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200315915-1

APPLICATION NO.

10/299,471

CONFIRMATION NO.

APPLICANT

Hai Chiang, et al.

FILING DATE

March 12/04

GROUP

2815

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
JN	1A	5,744,864	08/28/1998	Cillessen, et al.	
	1B	6,673,643	01/06/2004	Yamazaki	
	1C	2003/0047785	03/13/2003	Kawasaki, et al.	
	1D	2003/0111663	06/19/2003	Yagi	
	1E	2003/0164503	09/04/2003	Chen	
	1F	2003/0178682	09/25/2003	Noda, et al.	
	1G	2003/0218221	11/27/2003	Wager, III, et al.	
	1H	2003/0218222	11/27/2003	Wager, III, et al.	
	1I	60/490,239	07/25/2003		Transparent Thin Film Transistor with Zinc-Tin Oxide Channel...
	1J	10/763,353	01/23/2004		Semiconductor Device
	1K	10/763,354	01/23/2004		Transistor including a Deposited Channel Region Having a ..

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
ON	1L	WO 97/06544	02/20/1997	Cillessen, et al.		
ON	1M	EP1134811	09/19/2001	Kawasaki, et al.		
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

ON	1Q	Aoki, Akira, et al., "Tin Oxide Thin Film Transistors", Japan J. Appl. Phys., Vol. 9, p.582 (1970).
	1R	Carcia, P.F., et al., "Transparent ZnO thin-film transistor fabricated by rf magnetron sputtering", Applied Physics Letters, Vol. 82, No. 7, pp. 1117-1119 (February 17, 2003).
	1S	Carcia, P.F., et al., "ZnO Thin Film Transistors for Flexible Electronics", Mat. Res. Soc. Symp. Proc., Vol. 769, pp. H72.1-H72.6 (2003).

EXAMINER

JOSEPH N GUYEN

DATE CONSIDERED

04/18/05

PATENT APPLICATION

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LIST OF PATENTS AND PUBLICATIONS FOR
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(Use several sheets if necessary)

ATTY. DOCKET NO.
200315915-1APPLICATION NO.
101799,471

CONFIRMATION NO.

APPLICANT

Hai Chiang, et al.

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Mar with 3/12/04

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REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	2A				
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	2L				
	2M				
	2N				
	2O				
	2P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

JN	2Q	Fu, Shelton, et al., "MOS and MOSFET with Transistion Metal Oxides", SPIE Vol. 2697, pp. 520-527.
	2R	Giesbers, J.B., et al., "Dry Etching of All-Oxide Transparent Thin Film Memory Transistors", Microeletronic Engineering, Vol. 35, pp. 71-74 (1997).
	2S	Grosse-Holz, K.O., et al. "Semiconductive Behavior of Sb Doped SnO2 Thin Films", Mat. Res. Soc. Symp. Proc., Vol. 401, pp. 67-72 (1996).

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JOSEPH NRUEN

DATE CONSIDERED

05/18/05

PATENT APPLICATION

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LIST OF PATENTS AND PUBLICATIONS FOR
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(Use several sheets if necessary)

ATTY. DOCKET NO.

200315915-1

APPLICATION NO.

10/799,471

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APPLICANT

Hal Chiang, et al.

FILING DATE

Herewith 3/12/04

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REFERENCE DESIGNATION

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	3A			
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	3L				
	3M				
	3N				
	3O				
	3P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

ON	3Q	Hoffman, R.L., et al., "ZnO-based transparent thin-film transistors", Applied Physics Letters, Vol. 82, No. 5, pp. 733-735 (February 3, 2003).
	3R	Masuda, Satoshi, et al., "Transparent thin film transistors using ZnO as an active channel layer and their electrical properties", Journal of Applied Physics, Vol. 93, No. 3, pp. 1624-1630 (February 1, 2003).
	3S	Nishi, Junya, et al., "High Mobility Thin Film Transistors with Transparent ZnO Channels", Jpn. J. Appl. Phys., Vol. 42, Part 2, No. 4A, pp. L347-L349 (April, 2003).

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DATE CONSIDERED

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PATENT APPLICATION

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LIST OF PATENTS AND PUBLICATIONS FOR
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ATTY. DOCKET NO.

200315915-1

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10/799,471

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APPLICANT

Hai Chiang, et al.

FILING DATE

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2815

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U.S. PATENT DOCUMENTS

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	4A			
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	4L				
	4M				
	4N				
	4O				
	4P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

JN	4Q	Ohya, Yutaka, et al., "Thin Film Transistor of ZnO Fabricated by Chemical Solution Deposition", Jpn. J. Appl. Phys., Vol. 40, Part 1, No. 1, pp. 297-298 (January, 2001).
	4R	Pallecchi, Ilaria, et al. "SrTiO ₃ -based metal-insulator-semiconductor heterostructures" Applied Physics Letters, Vol. 78, No. 15, pp. 2244-2246 (April 9, 2001).
	4S	Prins, M. W. J., et al., "A ferroelectric transparent thin-film transistor", Appl. Phys. Lett., Vol. 68, No. 25, pp. 3650-3652 (June 17, 1996).

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JOSEPH GUREN

DATE CONSIDERED

05/18/05

FORM PTO-1449

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	5L				
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	5O				
	5P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

5Q	Seager, C.H., et al., "Charge Trapping and device behavior in ferroelectric memories", Appl. Phys. Lett., Vol. 68, No. 19, pp. 2660-2662 (May 6, 1996).
5R	Uneno, K., et al. "Field-effect transistor on SrTiO ₃ with sputtered Al ₂ O ₃ gate insulator", Applied Physics Letters, Vol. 83, No. 9, pp. 1755-1757 (September 1, 2003).
5S	Wöllenstein, Jürgen, et al., "An insulated gate thin-film transistor using SnO ₂ as semiconducting channel, a possible new gas sensor device" The 11th European Conference on Solid State Transducers, pp. 471-474 (September 21-24, 1997).

EXAMINER

JOSEPH H. NGUYEN

DATE CONSIDERED

5/18/05

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
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ATTY. DOCKET NO.

200315915-1

APPLICATION NO.

10/799,471

CONFIRMATION NO.

APPLICANT

Hai Chiang, et al.

FILING DATE

Harowitz 3/12/4

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	6A			
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	6P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

ON	6Q	Yoshida, A., "Three Terminal Field Effect Superconducting Device Using SrTiO ₃ Channel" IEEE Transactions on Applied Superconductivity, Vol. 5, No. 2, pp. 2892-2895 (June, 1995).
	6R	Solid-State Electronics, Vol. 7, Pergamon Press, Notes pp. 701-702 (1984).
	6S	Anonymous, "Transparent and/or memory thin film transistors in LCD's and PLEAD," Research Disclosure, p. 890 (July 1998).

EXAMINER

JOSEPH HARGREAVES

DATE CONSIDERED

05/18/05